

Timothy S. Peters

Consent Order

DATE: November 13, 2002 RESPONDENT: Timothy S. Peters of Overland Park, Kansas
ALLEGATIONS: Unregistered Investment Adviser, Unauthorized Transaction ORDER:
Respondent neither admits or denies allegations in the Notice of Intent to Invoke Administrative Sanctions issued on June 19, 2002, except that respondent admits to acting as an investment adviser without being registered under the Kansas Securities Act and admits to making one unauthorized trade. The Consent Order imposes a two week suspension of respondent's broker-dealer agent license to be served from November 14, 2002 until November 27, 2002.

Notice of Intent to Invoke Administrative Sanctions

DATE: June 19, 2002 RESPONDENT: Timothy S. Peters of Overland Park, Kansas
ALLEGATIONS: Unregistered Investment Adviser, Unethical Practices as an Investment Adviser Representative, Unethical Practices as a Broker-Dealer Agent ORDER: Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act, relating to two complaints. In relation to the first complaint, the Notice alleges Peters acted as an unregistered investment adviser representative. In relation to the second complaint, the Notice alleges Peters engaged in unethical practices both in his capacity as an investment adviser representative and as a broker-dealer-agent.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.